

**Program and Application Guidance FY 2002**

U.S. Department of Health and Human Services

Health Resources and Services Administration

HIV/AIDS Bureau

Division of Training and Technical Assistance

Training and Technical Assistance Program Announcement

American Indian/Alaska Native Technical Assistance Center

Title XXVI

Public Health Service Act

Public Law 101-381

Ryan White Comprehensive AIDS Resources Emergency Act of 1990, as

Amended by the Ryan White Comprehensive AIDS Resources Emergency Act

Amendments of 1996 and 2000

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## Program Summary

The Department of Health and Human Services (DHHS), Health Resources and Services Administration (HRSA), HIV/AIDS Bureau (HAB) has grant funds available for the establishment of an American Indian/Alaska Native Technical Assistance Center (AI/AN TAC) to provide technical assistance in the area of competitive proposal development and implementation services to American Indian/Alaska Natives in Urban and Tribal programs and in the AI/AN communities to increase their involvement in the competitive proposal process in HIV/AIDS service-related funding opportunities. This national center will provide professional staff who will assist in the identification of appropriate funding resources, the conceptualization and development of programs plans in accordance with funding guidance, and the preparation and finalization of written competitive proposals for submission to both private and public funding sources.

This one-on-one technical assistance is intended to increase the capacities of American Indian/Alaska Natives in Urban and Tribal programs and in American Indian/Alaska Natives communities to prepare competitive grant applications and thereby increase their capacities to provided HIV/AIDS-related services, which will increase the access to care of American Indian/Alaska Natives affected by HIV/AIDS, and assist in eliminating the health disparities in the American Indian/Alaska Native communities. This technical assistance would focus on how to assist Indians in being more competitive during the grants application process. According to Indian Health Service (I HS), out of 557 Federally recognized Tribal governments, only 260 have succeeded in being able to be

self-supporting and self-health supporting. The AI/AN TAC would assist in following through with the cooperative efforts of HRSA and IHS. The center will assist the Tribal government in bridging the gap of health care for the Tribes. This center is unique because it will provide professional staff that has experience in working with Tribal governments, urban Indian centers, and other Native communities in a culturally appropriate manner.

## **Program Expectations**

The American Indian/Alaska Native Technical Assistance Center (AI/AN TAC) is expected to conduct, at a minimum, the following functions during the two-year cooperative agreement period:

1. Development and implementation of a marketing plan that describes the specified audience of American Indian/Alaska Natives and agencies/programs providing services to this population whom you plan to reach (customers) and the methods to be used to reach the customers to inform them about the services available from the AI/AN TAC.
2. Development and implementation of technical assistance services that consist of the provision of direct, one-on-one assistance in the area of competitive proposal development to customers. Assistance from the AI/AN TAC shall be provided on a request-basis, and respond to not only specific funding opportunities released by both public and private agencies, but also to requests for technical assistance in broader areas of proposal development and identification of funding resources. Technical assistance service provided must relate to the provision of HIV/AIDS services.
3. Development and implementation of an evaluation plan which is able to document not only the services provided by the AI/AN TAC, but also the quality of the services—as determined by specific quality indicators defined in the evaluation plan—and the consumer satisfaction with the services provided. The evaluation plan must also assess the impact of the AI/AN TAC's services.

## **Application Due Date**

The deadline for receipt of applications is **September 6, 2002**. Applications shall be considered as meeting the deadline if they are either (1) received on or before the due date, or (2) postmarked on or before the deadline date.

Applicants must request a legibly dated U.S. Postal Service Postmark or obtain a legibly dated receipt from a commercial carrier or the US Postal Service. Private metered postmarks will not be accepted as proof of timely mailing. Grant applications postmarked after the deadline date and/or not received in time for the Objective Review Committee will be returned to the applicant.

## **Where to Send Applications**

HRSA Grants Application Center  
The Legin Group  
ATTN: American Indian/Alaska Native Technical Assistance Center CFDA  
93.145  
901 Russell Avenue, Suite 450  
Gaithersburg, MD 20879

The HRSA Grants Application Center telephone number is 877/477-2123; the e-mail address is HRSAGAC@hrsa.gov

## **Copies Required**

One (1) original plus two (2) unbound copies of the application are required.

## **Official Application Kit**

A hard (paper) copy of the official grant application form (PHS 5161-1, Rev. 7/00; approved under OMB clearance number 0937-0189) can be obtained from the website at <http://www.psc.gov/forms/PHS/phs.html>

## **Who is eligible to apply?**

The applicant must be a public or private non-profit entity, including schools and academic health centers. Faith-based and community based organizations are eligible to apply

Preference will be given to applicants that have a documented history of service to the American Indian/Alaska Native communities. The applicant can document this history through the provision of current letters of support and commitment, as well as other printed evidence submitted in the application.

## **Cooperative Agreement Definition**

Cooperative Agreements are a type of Federal assistance that involves a very high level of government participation in funded activities. Under this cooperative agreement, HAB will provide input and be actively involved in the planning and implementation of activities supported by these funds. Proposed activities must support the mutual goals of HAB and the applicant.

## **Contact Information**

For general program information and technical assistance, contact:

Juanita Koziol, MS, NP, CS, RN  
Senior Public Health Analyst,  
5600 Fishers Lane, Room 7-47  
Rockville, MD 20857.

Telephone: 301/443-6068  
Fax: 301/594-2835  
e-mail: jkoziol@hrsa.gov

For information regarding business, administrative, or fiscal issues related to this announcement by contacting:

Darren Buckner  
Grants Management Specialist  
Attn.: AI/AN Technical Assistance Center  
5600 Fishers Lane, Room 7-27  
Rockville, MD 20857  
Telephone: 301/443-1913  
Fax: 301/594-6096

### **Availability Of Federal Funds**

For FY 2002, approximately \$700,000 will be available for a two-year grant period to support one technical assistance center.

### **Funding Restrictions and Criteria**

Applicants responding to this announcement must request funding for a project period of up to two (2) years, at no more than \$350,000 per year. Awards to support projects beyond the first budget year will be contingent upon Congressional appropriations and satisfactory progress in meeting the project's objectives.

Under current OMB regulations, funds under this announcement may not be used for the following purposes:

- Charges that are billable to third parties;
- Construction of new facilities or capital improvements to existing facilities;
- Services covered by other Federal, State or local government grants, other CARE Act funds, CDC prevention programs, the AIDS Drug Assistance Program, State supported HIV/AIDS initiatives;
- Purchase or improvement of land;
- Cash payments to intended service recipients, as opposed to various non-cash incentives to encourage participation in project activities.

## Cooperative Agreement-HRSA

Under this cooperative agreement, the grantee and HRSA's HIV/AIDS Bureau will work in partnership, with the Bureau having substantial involvement as outlined below. Under the cooperative agreement HRSA requires that certain activities be planned jointly and include HRSA's approval. HRSA must be made aware of all project activities in sufficient time to provide input and assistance.

### HRSA Activities in Support of the Cooperative Agreement

- Provide consultation and technical assistance in planning, operating and evaluation activities for the AI/AN TAC.
- Review the marketing and evaluation plan to include instruments and forms that will be used to track quality and frequency of service encounters and satisfaction with technical assistance services.
- Facilitate efforts in the provision of technical assistance and training of specified individuals and to AI/AN groups.
- Participate, as appropriate, in the planning and implementation of any conferences, meetings, or workgroups conducted during the period of the cooperative agreement.
- Provide technical assistance to the grantee to increase its capacity to succeed.
- Maintain an ongoing dialogue with the grantee concerning program plans, training plans, and other issues which have major implications for any activities undertaken by the applicants under the cooperative agreement.
- Review documents, curriculum, training plans, program plans, budgets, contracts, personnel (including consultants and contractors), workplan activities, evaluation plan, etc. prior to final production of all activities.

## How should I prepare my application?

### 1. Format and style

You must submit your application using PHS Form 5161-1 (July 2000), which is included in the application package. Clearly print the following on the upper right hand corner of Standard Form (SF) 424 (of the PHS 5161-1) and on the envelope in which the application is submitted: **American Indian/Alaska Native Technical Assistance Center (AI/AN TAC)**

All applications must:

- Be typed single-spaced in standard size black type (on 8.5" X 11" white paper that can be photocopied;

- Be serially numbered starting with the Table of Contents;
- Use 1" margins;
- Use only one side of each page;
- Include the name of the applicant agency on each page, starting with the Table of Contents; and
- Secure with paper clips or rubber bands.

Applications must NOT:

- Include tabs, divider or paper that is larger or smaller than 8.5" by 11";
- Be bound or placed in notebooks.

## **2. Sequence Of The Application**

Application components must be assembled as follows:

- PHS 5161-1 grant application Standard Form 424
- Checklist (pages 25-26)
- Budget Information-Non Construction Programs (Standard Form 424 A) Sections A-F
- Assurances - Non-Construction Programs (Standard Form 424 B)
- Certifications (pages 17-19)
- Table of Contents
- Project Abstract (not to exceed one page in length)
- Project Narrative (not to exceed 15 pages in length)
- Line Item Budget (Separate budget for each of the two grant years; no page limit)
- Budget Justification (Separate budget justification for each of the two grant years; no page limit)
- Work Plan for first project year (not to exceed 10 pages in length)
- Appendices: (not to exceed 35 pages in length)
  - Organizational Chart
  - Resumes
  - Job Descriptions
  - Letters of support and/or commitment
  - Other attachments as needed

## **3. Contents of the Application**

[Note: Page limitations for narrative sections are specified above, Sequence of Application.]

**Application Face Page SF 424, PHS 5161-1**, provided with the application package. Please prepare this page according to instructions provided. For item

number 10 on this page, the Catalog of Federal Domestic Assistance Number is 93.145.

**Application Checklist, Form PHS 5161-1**, provided with the application package.

**Budget (SF 424A)** for Non-Construction Programs, provided with the application package. Please complete Sections A, B, E, and F. Indirect costs, if requested, will be awarded at the applicant's current negotiated rate. Applicants that do not have a negotiated rate and require guidance may contact the Grants Management Office, above, for more information. Please note that indirect costs paid on contracts for services are limited to the first \$25,000 of each contract.

**Assurances (SF 424B, Form PHS 5161-1)**, provided with the application packet.

**Certifications (pages 17-19, Form PHS 5161-1)**, also provided with the application packet.

**Table of Contents** Please place here a Table of Contents for the balance of the application (including appendices), with page numbers.

**Project Abstract** Please place here a summary of the application. Because the abstract is often distributed to provide information to the public and Congress, please prepare this so that it is clear, accurate, concise, and without reference to other parts of the application.

Please place the following at the top of the abstract:

1. Project Title
2. The name of Applicant
3. Address
4. Voice and Fax Contact Phone Numbers
5. E-Mail Address
6. Web Site Address, if applicable

Please limit the abstract to one page in length.

**Program Narrative** This section provides a comprehensive description of all aspects of the proposed project. It should be succinct, self-explanatory and well organized so that reviewers can understand the proposed project. The program narrative must provide information on the applicant, any subcontractors, staff and consultants, if applicable, and address the applicant's program plan for addressing each of the program expectations outlined above.

Please use the following section headers for the Narrative:



- **Introduction:** This section must briefly describe the function of the proposed AI/AN TAC in supporting the goal of increasing the capacities of American Indian/Alaska Natives in Urban and Tribal programs to prepare competitive grant applications. This will increase their capacities to provide HIV/AIDS-related services, thereby increasing the access to care of American Indian/Alaska Natives-affected by HIV/AIDS, and assisting in eliminating the health disparities in the American Indian/Alaska Native communities.
- **Organizational Information:** This section must briefly describe the applicant agency and any key partners and collaborators. The applicant's current mission, scope of current activities, areas of expertise and organizational chart should be included, as these factors all contribute to the agency's ability to meet the program expectations.
- **Program Plan:** This section must briefly describe the goals and objectives of the proposed program and provide an overview of the methodology to be used to meet each of the program expectations. If applicable, provide a brief description of the needs of the target audience and how the program plan will address these characteristics. Additionally, briefly describe any challenges that are likely to be encountered in designing and implementing the proposed program, and approaches that could be used to resolve such challenges. [Note: Specific activities to be conducted must be fully outlined in the Work Plan.]
- **Evaluation Plan:** This section must provide a description of how the applicant plans to document the services provided by the AI/AN TAC, the quality of the services—as determined by specific quality indicators defined in the evaluation plan—including consumer satisfaction with the services provided, and the impact of the AI/AN TAC's services at the system, program and individual customer level. Describe instruments and/or forms and methods that will be used to capture data (sources of data). Provide samples in the appendices. Describe plan for tracking and managing data encounters (quantity) to include quality and satisfaction with TA services (database).

**Line item budget** for each of the two grant years using the budget categories in the SF 424A. This line item budget must be presented using the same object class categories used in Standard Form 424A. Please note that indirect costs paid on contracts for services are limited to the first \$25,000 of each contract.

**Budget Justification:** This is a narrative that explains amounts requested for each line item in the budget. The budget justification must specifically describe how each item will support the achievement of proposed program objectives. Personnel costs must be explained by listing each staff member who will be supported from funds, name (if possible), position title, percent full time equivalency, the annual salary, and the exact amount requested for each project year.

To the extent possible, all subcontract budgets and justifications must be standardized, and contract budgets must be presented by using the same object class categories contained in the SF 424A. Please provide a clear explanation as to what each contract is for, how the costs were derived, and specify contract deliverables.

Indirect costs, if requested, will be awarded at the applicant's current negotiated rate. Applicants that do not have a negotiated rate and require guidance may contact the Grants Management Office, above, for more information.

### **Program Activities/Work Plan/Time Line**

This section must provide a detailed outline of the activities or steps that will be used to achieve each of the goals and objectives proposed in the Program Narrative Section. The work plan must include dates(s) activity will begin, person(s) responsible for conducting the activity, and date of completion. [Note: See Attachment: Work Plan Tips for a description and suggested format for the Work Plan.]

### **Appendices**

- Organizational Chart
- Resumes of key staff and consultants
- Job Descriptions for key staff and consultant positions
- Letters of support and/or commitment
- Data instruments/forms
- Other attachments as needed

### **How will my application be reviewed?**

An Objective Review Committee (ORC) composed of Federal and non-Federal experts will evaluate all applications. Applications will be scored on a basis of 100 points, with 100 points being a perfect score. Points will be allocated based on the extent to which the proposal addressed each of the criteria below. A proposal receiving zero points for any one criterion will not be approved for funding.

#### ***Criterion 1: Professional Qualifications of Personnel (25 points)***

This includes the qualifications of the proposed staff and proposed consultants, if applicable in:

- The provision of technical assistance to agencies in the areas of training, fundraising, program planning, and proposal development.
- Development and implementation of a marketing plan to reach the technical assistance center's target audience of customers.

- Development and implementation of an evaluation plan to document and assess the quantity, quality and impact of the technical assistance center's services.
- The prior provision of services to American Indian/Alaska Native-serving agencies, including Urban and Tribal programs, and AI/AN communities.
- Implementation, analysis and reporting of the program 's operations.

**Criterion 2: Organization Capacity (20 points)**

Proficiency of the applicant 's administrative, fiscal, and professional management in:

- The previous experience of the applicant agency, and subcontractors, if applicable, in the provision of technical assistance services to American Indian/Alaska Native-serving agencies, including Urban and Tribal programs, and AI/AN communities.
- The proposed program staffing and availability of staff resources.

**Criterion 3: Work Plan (25 points)**

Comprehensiveness of the applicant 's plan for provision of technical assistance as described in the Program Guidance, as demonstrated by:

- The adequacy of the format and content of the Work Plan to outline program goals, objectives, action steps, and evaluation methods to describe the anticipated efforts of the AI/AN TAC during the first year of funding.
- The adequacy of the description of the proposed scope of services to be provided, the proposed methods, and the identified barriers and challenges—and the proposed solutions.
- The ability of the AI/AN TAC to begin to provide its services within 60-days of funding.
- The feasibility of the projected timeline.
- The appropriateness of the evaluation plan for the measurement of the quantity, quality and consumer satisfaction with technical assistance provided by the applicant.

**Criterion 4: Appropriateness and Justification of Budget (25 points)**

This includes:

- The appropriateness of the proposed budget for the entire two-year project period.
- Clarity of the budget narrative that justifies each line item in relation to the goals, objectives and activities of the program.
- Allocation of resources to ensure that relevant and appropriate staff as well as resources are available to meet the requests for technical assistance from the target audience.
- Identification of consultants and subcontracts, with a standardized format used for contract budgets, including a clearly defined scope of work.

**Criterion 5: Adherence to Program Guidance (5 points)**

This includes:

- Adherence to the format as outlined in the Program Guidance.
- Inclusion of all required sections, tables, charts and other documentation.

**Post-Award Requirements**

The successful applicant under this Announcement must submit:

- a. Quarterly activity summary reports: and
  - b. Comply with audit requirements of OMB Circular A-133 (the Grants Management Officer, previously cited, can additional information on this).
- The Public Health Service also strongly encourages all award recipients to provide a smoke-free workplace and to promote the non-use of all tobacco products. Further, Public Law 103-227, the Pro-Children Act of 1994, prohibits smoking in certain facilities (or in some cases, any portion of a facility) in which regular or routine education, library, day care, health care or early childhood development services are provided to children.

**Single point of contact process**

Many states have a system for reviewing applications submitted to the Federal government by organizations located within their state. Therefore, applicants must contact their State Single Point of Contact (SPOC) and follow the SPOC's instructions prior to the submission of your application. The SPOC should send any State review process recommendations to the following address:

**Grants Management Officer  
HIV/AIDS Bureau, HRSA  
Room 7-89 Parklawn Building  
5600 Fishers Lane  
Rockville, MD 20857  
ATTN: SPOC-CFDA No:93.145**

The due date for State process recommendations is no later than 60 days after the deadline for the receipt of applications. HRSA does not guarantee to accommodate or explain SPOC comments that are received after the 60-day cut-off.

## Attachment: Work Plan Tips

The Work Plan delineates your steps to implement and evaluate your HIV primary care program. The Work Plan must be written for your entire program. Your Work Plan should be used as a tool that will help you actively manage your program by measuring progress, identifying necessary changes, and quantifying your accomplishments.

The Work Plan must be written in the required format, which includes problem statements, goals, objectives, action steps, and evaluation methods.

### Making Your Work Plan Time-Framed, Measurable and Useful

Your Work Plan objectives must be **time-framed** and **measurable**. Information is provided below about how to write a Problem Statement, Goal, Objective, Action Step, and Evaluation Method that may assist you in writing your Work Plan.

The **Problem Statement** (also called the Statement of Need) helps you design your Goals and Objectives. Relate these to the mission of your organization and to the goals of the Title III Program.

**Goals** are generally broad statements, which describe the long-term benefits you seek or desired impact of the project on individuals, the community, or other target populations. The goal should be measurable in the long-term but not necessarily during the project period.

**Objectives** are statements of measurable results that you plan to accomplish, with a time deadline attached. Objectives should not restate the problem.

As part of your objective you should

- identify your target population(s),
- state what will change,
- how much change will occur and
- by when.

The objective should lead to measurable outcomes that will make it easy for you to report on progress made. If you use either numbers or percentages in your objectives, be clear about where you are starting from (the baseline number).

Are your Objectives realistic? Give yourself a target you can reach. Do not commit to an objective that is out of reach. Remember that objectives should contain “action verbs” such as the following phrases: “to establish,” “to prepare”, “to reduce...”.

Good Objectives are **SMART** Objectives

**S**pecific

**M**easurable

**A**chievable

**R**ealistic

**T**ime measured

**Action Steps** describe the specific activities undertaken to accomplish your Objectives. Action Steps should specify the individual(s) responsible for accomplishing what activity by what date. Action Steps should flow logically from your Problem Statement, Goal and Objectives. They should clearly describe your project activities as well as the sequence of activities, and they should be reasonable. Remember to build in start-up time for new initiatives. How long does it really take to recruit and hire someone in your system?

**Evaluation Method** - The purpose of evaluation is to measure the results of your project. Additionally, evaluation is also a tool that provides information and feedback so that you can make appropriate adjustments to your project during the project period. Your Evaluation Method is how you will measure whether or not a particular Objective has been achieved. Your evaluation section should describe the plan for evaluating the extent to which the project is completing tasks and achieving intended results.